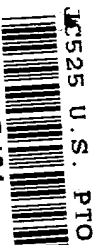


10/25/01



JC525 U.S. PTO

12-28-01

PATENT  
Attorney Docket No.: CASE-06816

A

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application  
Assistant Commissioner For Patents  
Washington, D.C. 20231

## NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Evan Samuel Deneris, Timothy John Hendricks and Dmitry Viktor Fyodorov for  
**Reagents And Methods For The Screening Of Compounds Useful In The Treatment Of Neurological Diseases.**

## CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the U.S. Postal Service on this date **October 25, 2001** in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number **EL512053211US** addressed to: **Box Patent Application**, Assistant Commissioner For Patents, Washington, D.C. 20231.

Christopher J. Collins

## 1. Type Of Application

This new application is for a(n)

- ☒ Original (nonprovisional)  
☒ Continuation.

## 2. Benefit Of Prior U.S. Application(s) (35 U.S.C. §§ 119(e), 120, or 121)

- ☒ The new application being transmitted claims the benefit of prior U.S. application(s) and enclosed are **ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.**

## 3. Papers Enclosed That Are Required For Filing Date Under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. § 1.153 (Design) Application

- 57 Pages of Specification  
1 Pages of Claims  
1 Page of Abstract  
12 Sheets of Informal Drawings

## 4. Additional Papers Enclosed

- ☒ Submission of "Sequence Listing," request under 37 C.F.R. § 1.821(e) to use readable form from another application, and paper copy is included in the specification, pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.  
☒ Certificate Re: Sequence Listing

## 5. Declaration

- ☒ Enclosed  
☒ Unexecuted.

## 6. Inventorship Statement

The inventorship for all the claims in this application is:

- ☒ the same

## 7. Language

- ☒ English

## 8. Assignment

- ☒ An assignment of the invention to **Case Western Reserve University** is attached.  
☒ Form PTO-1595 will follow.

## 9. Fee Calculation (37 C.F.R. § 1.16)

- ☒ Regular application

jc997 U.S. PTO  
10/027859



10/25/01

CLAIMS AS FILED

Number Filed	Number Extra	Rate	Basic Fee - \$740.00 (37 C.F.R. § 1.16(a))
Total Claims (37 C.F.R. § 1.16(c))	1 - 20 =	0 × \$18.00 =	\$0.00
Independent Claims (37 C.F.R. § 1.16(b))	1 - 3 =	0 × \$84.00 =	\$0.00
Multiple Dependent Claim(s), if any (37 C.F.R. § 1.16(d))	+ \$280.00 =		\$0.00

Filing Fee Calculation \$740.00

10. Small Entity Statement(s)

☒ Verified Statement(s) that this is a filing by a small entity under 37 C.F.R. §§ 1.9 and 1.27.

Filing Fee Calculation (50% of above) \$370.00

11. Fee Payment Being Made At This Time

☒ Enclosed

☒ basic filing fee \$370.00

Total Fees Enclosed \$370.00

12. Method of Payment of Fees

☒ Check in the amount of \$370.00

13. Authorization To Charge Additional Fees and Credit Overpayment

☒ The Commissioner is hereby authorized to charge payment of any fees associated with this communication or credit any overpayment to Deposit Account No.: 08-1290. An originally executed duplicate of this transmittal is enclosed for this purpose.

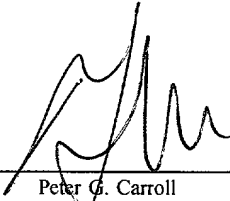
14. Power of Attorney by Assignee

☒ Enclosed

15. Return Receipt Postcard

☒ Enclosed

Dated: October 25, 2001

  
Peter G. Carroll  
Registration No.: 32,837

MEDLEN & CARROLL, LLP  
101 Howard Street, Suite 350  
San Francisco, California 94105  
415/904-6500

☒ Incorporation By Reference Of Added Pages

☒ Plus Added Pages For New Application Transmittal Where Benefit Of Prior U.S. Application(s)  
Claimed

Number of pages added 1

ADDED PAGES FOR APPLICATION TRANSMITTAL  
WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED

16. Relate Back

A. 35 U.S.C. § 119(e)

B. 35 U.S.C. §§ 120, 121 and 365(c)

- ☒ Amend the Specification by deleting the first two sentence:--This application for patent under U.S.C. 1111(a) claims priority to Provisional Application Serial No. 60/094,264 filed July 27, 1998 under 35 U.S.C. 111(b). The present application is a continuation-in-part of application Ser. No. 09/360,779 filed July 26, 1999.-- and inserting: "This is a Continuation of copending application(s) 09/435,335 filed 11/05/99, which is a Continuation-In-Part of application 09/360,779 filed 6/26/99 issued Patent No. 6,268,216 on 7/31/01, which is a conversion of Provisional Application 60/094,264 filed 7/27/98."

17. Further Inventorship Statement Where Benefit Of Prior Application(s) Claimed

- a. This application discloses and claims only subject matter disclosed in the prior application whose particulars are set out above and the inventor(s) in this application are  
☒ the same.
- b. This application discloses and claims additional disclosure by amendment and a new declaration or oath is being filed. With respect to the prior application, the inventor(s) in this application are  
☒ the same.

18. Notification In Parent Application Of This Filing

- ☒ A notification of the filing of this  
☒ continuation  
is being filed in the parent application from which this application claims priority under 35 U.S.C. § 120.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Evan Samuel Deneris *et al.*

Serial No.:

Group No.:

Filed: 10/25/01

Examiner:

Entitled: **Reagents And Methods For The Screening Of  
Compounds Useful In The Treatment Of  
Neurological Diseases**

**CERTIFICATE RE: SEQUENCE LISTING**

Assistant Commissioner for Patents  
Washington, D.C. 20231

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)(1)(i)(A)**

I hereby certify that this correspondence (along with any referred to as being attached or enclosed) is, on the date shown below, being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Dated: October 25, 2001

By: 

Christopher J. Collins

Sir or Madam:

I hereby state that the enclosed Sequence Listing is being submitted in paper copy (included in the specification) and a request under 37 C.F.R. § 1.821(e) to use computer readable form from another application, and that the content of the paper and computer readable (from patent application) copies are the same.

Dated: October 25, 2001

By: 

Peter G. Carroll  
Registration No. 32,837

MEDLEN & CARROLL, LLP  
101 Howard Street, Suite 350  
San Francisco, California 94105  
415.904.6500

10/25/01 09:04:00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Evan Samuel Deneris *et al.*      Group No.:  
Serial No.:      Examiner:  
Filed: 10/25/01  
Entitled: **Reagents And Methods For The Screening Of  
Compounds Useful In The Treatment Of  
Neurological Diseases**

**REQUEST UNDER 37 C.F.R. § 1.821(e)  
TO USE COMPUTER READABLE FORM  
FROM ANOTHER APPLICATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)(1)(i)(A)

I hereby certify that this correspondence (along with any referred to as being attached or enclosed) is, on the date shown below, being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Dated: October 25, 2001

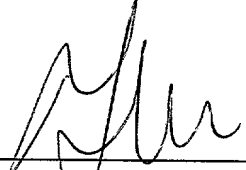
By: 

Christopher J. Collins

Sir or Madam:

The computer readable form in this application is identical with that filed in Application number 09/435,335, filed 11/05/99. In accordance with CFR 1.821(e), please use the computer readable form filed in that application as the computer readable form for the instant application. It is understood that the Patent and Trademark Office will make the necessary change in application number and filing date for the computer readable form that will be used for the instant application. A paper copy of the Sequence Listing is included in the specification.

Dated: October 25, 2001

  
Peter G. Carroll

Registration No. 32,837

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101 Howard Street, Suite 350

San Francisco, California 94105

415.904.6510